

FORM PTO-1390
(REV 11-98)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

500.38228X00
February 17, 2000

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

09/485852

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371**

INTERNATIONAL APPLICATION NO.

PCT/JP98/03791

INTERNATIONAL FILING DATE

26 August 1998 (26.08.98)

PRIORITY DATE CLAIMED

28 August 1997 (28.08.97)

TITLE OF INVENTION

SEMICONDUCTION LIGHT RECEIVING ELEMENT AND OPTICAL TRANSMISSION DEVICE

APPLICANT(S) FOR DO/EO/US

MOGI, Toshiyuki; KAWAMOTO, Kazumi; TSUJI, Shinji; NAKAMURA, Hitoshi; SHISHIKURA, Masato; and KIKUCHI, Satoru

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND or SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(l).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☒ has been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
- ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
- ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
- ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
- ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
- ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11. to 16. below concern document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A **FIRST** preliminary amendment.
☐ A **SECOND or SUBSEQUENT** preliminary amendment.
14. ☐ A substitute specification.
15. ☒ A change of power of attorney and/or address letter.
16. ☒ Other items or information: **INTERNATION SEARCH REPORT
INF. DISCL. SHEET 1.56(a) W/REFS.**

U.S. APPLICATION NO. (if known) **09/485852**INTERNATIONAL APPLICATION NO.
PCT/JP98/03791ATTORNEY'S DOCKET NUMBER
500.38228X00

CALCULATIONS PTO USE ONLY

17. ☒ The following fees are submitted:**BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5))**

Neither international preliminary examination fee (37 CFR 1.482)
nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO
and International Search Report not prepared by the EPO or JPO **\$970.00**

International preliminary examination fee (37 CFR 1.482) not paid to
USPTO but International Search Report prepared by the EPO or JPO **\$840.00**

International preliminary examination fee (37 CFR 1.482) not paid to USPTO but
international search fee (37 CFR 1.445(a)(2)) paid to USPTO **\$760.00**

International preliminary examination fee paid to USPTO (37 CFR 1.482)
but all claims did not satisfy provisions of PCT Article 33(1)-(4) **\$670.00**

International preliminary examination fee paid to USPTO (37 CFR 1.482)
and all claims satisfied provisions of PCT Article 33(1)-(4) **\$96.00**

ENTER APPROPRIATE BASIC FEE AMOUNT =

\$ 840.00

Surcharge of **\$130.00** for furnishing the oath or declaration later than ☐ 20 ☐ 30
months from the earliest claimed priority date (37 CFR 1.492(c)).

\$ 0.00

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE
Total claims	18 -20 =	0	X \$18.00
Independent claims	5 -3 =	2	X \$78.00

\$ 0.00

\$ 156.00

MULTIPLE DEPENDENT CLAIM(S) (if applicable)

+ \$260.00

\$ 260.00

TOTAL OF ABOVE CALCULATIONS =

\$ 1,256.00

Reduction of 1/2 for filing by small entity, if applicable. A Small Entity Statement
must also be filed (Note 37 CFR 1.9, 1.27, 1.28).

\$ 0.00

SUBTOTAL =

\$ 1,256.00

Processing fee of **\$130.00** for furnishing the English translation later than ☐ 20 ☐ 30
months from the earliest claimed priority date (37 CFR 1.492(f)).

\$ 0.00

TOTAL NATIONAL FEE =

\$ 1,256.00

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be
accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). **\$40.00** per property

\$ 40.00

TOTAL FEES ENCLOSED =

\$ 1,296.00

Amount to be:
refunded \$
charged \$

a. ☒ A check in the amount of \$ 1,296.00 to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees.
A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any
overpayment to Deposit Account No. 01-2135 A duplicate copy of this sheet is enclosed.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO

Melvin Kraus
Antonelli, Terry, Stout & Kraus, LLP
1300 North Seventeenth Street Suite 1800
Arlington, VA 22209

SIGNATURE

Melvin Kraus

NAME

22,466

REGISTRATION NUMBER

Please type a plus sign (+) inside this box →

09/485052

PTO/SB/122 (11-96)

Approved for use through 6/30/99. OMB 0651-0035

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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CHANGE OF CORRESPONDENCE ADDRESS *Application*

Address to:
Assistant Commissioner for Patents
Washington, D.C. 20231

Application Number	500.38228X00
Filing Date	FEBRUARY 17, 2000
First Named Inventor	T. MOGI ET AL
Group Art Unit	
Examiner Name	
Attorney Docket Number	

Please change the Correspondence Address for the above-identified application to:



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I am the :



Applicant.



Assignee of record of the entire interest.
Certificate under 37 CFR 3.73(b) is enclosed.



Attorney or agent of record .

Typed or
Printed Name

MELVIN KRAUS

Registration NO. 22,466

Signature

Melvin Kraus

Date

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.